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PTO/SB/05 (03-01)

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 2100749-991140

First Inventor Brett Matthew Keating

Title GENERALIZER SYSTEM AND METHOD

Express Mail Label No. EI 904945972 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Commissioner of Patents and Trademarks  
Box Patent Application  
Washington, DC 202311. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.3. ☒ Specification  
(preferred arrangement set forth below)

Total Pages: 38

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R&D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Description of the Drawings (if filed)
- Detailed description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawings(s) (35 U.S.C. 113) Total Sheets 225. ☒ Oath or Declaration Total Pages 3

- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR. 1.76.7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM, or CD-R (2 copies; orii. ☐ paperc. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney11. ☐ English Translation Document (if applicable)12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations13. ☐ Preliminary Amendment14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.17. ☒ Other: Small Entity Statement (1 pg);  
Check # 41731 for \$680.00;  
Express Mailing Cert. US904945972US

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part of prior acceptance No.: /

Prior application information: Examiner: Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name Gray Cary Ware &amp; Freidenrich LLP

Address 1755 Embarcadero Road

City Palo Alto

State California

Zip Code 94303

Country United States

Telephone 650-320-7400

Fax 650-320-7401

NAME (Print/Type)

Timothy V. Lohse

Registration No. (Attorney/Agent)

35,255

Signature

[Signature]

Date

October 11, 2001

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$ ) 680.00

## Complete if Known

Application Number	To be assigned
Filing Date	Filed herewith
First Named Inventor	Brett Matthew Keating
Examiner Name	Not assigned
Group Art Unit	Not assigned
Attorney Docket No.	2100749-991140

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 07-1896  
Deposit Account Name: Gray Cary Ware & Freidenrich LLP

☒ Charge Any additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed: Check No. 491731

☒ Check in the amount of \$ 680.00

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	370
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
<b>SUBTOTAL (1)</b> (\$ )					<b>370.00</b>

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
36	-20** = 16	X 9 =	144
Independent Claims	6	-3** = 3	X 42 = 126
Multiple Dependent		X	

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	80	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b> (\$ )					<b>270.00</b>

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					
* Reduced by Basic Filing Fee Paid					
<b>SUBTOTAL (3)</b> (\$ )					<b>40.00</b>

<b>SUBMITTED BY</b>			
Name (Print/Type)	Timothy W. Lohse	Registration No. (Attorney/Agent)	35,255
Signature		Telephone	650-320-7426
		Date	October 11, 2001

10/11/01  
JC928 U.S. PTO

Attorney Docket No. 2103442-991100

Attorney Docket No.: 2100749-991140

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL NUMBER: **EL 904945972 US**

DATE OF DEPOSIT: October 11, 2001

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Box PATENT APPLICATION, Commissioner for Patents; Washington, DC 20231.

  
Cathy Pittman

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CERTIFICATE OF MAILING BY EXPRESS MAIL

COMMISSIONER OF PATENTS  
Washington, D.C. 20231

**ATTN: BOX PATENT APPLICATION**

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is the patent application of:

INVENTOR(s): Brett Matthew Keating

FOR: GENERALIZER SYSTEM AND METHOD

Enclosed are:

- [X] Utility Transmittal (2 pgs.)
- [X] Utility Application (38 pages of specification, claims and abstract);
- [X] Twenty-two (22) sheets of Informal Drawings
- [X] Verified Small Entity Statement (3 pgs.);
- [X] Declaration and Power of Attorney (3 pgs.);
- [X] Recordation Form Cover Sheet (1 pg.);
- [X] Assignment (2 pgs.);
- [X] Fee Transmittal (1 pg.);
- [X] Check 491731 for \$680.00;
- [X] Certificate of Express Mailing (1 pg.); and
- [X] Return Postcard

09977010-101101

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Express Mail Label Number: EL 904945972 US

*I hereby certify that this Utility Patent Application is  
being deposited with the United States Postal Service  
"EXPRESS MAIL Post Office to Addressee" service under 37  
CFR 1.10 on the date indicated above and is addressed to  
Box Design, Commissioner of Patents & Trademarks,  
Washington, DC 20231.*

October 11, 2001  
Date

  
Signature

097010-101101